

IAP13 Rec'd PCT/PTO 20 NOV 2006

CASE HP/15-22820/A/CGC 2137/PCT

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Dolores DeCarminé  
Type or print name

Dolores DeCarminé  
Signature

11/16/06  
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PCT NATIONAL STAGE APPLICATION OF

Group Art Unit: 1751

ZHIQIANG SONG ET AL

Examiner:

INTERNATIONAL APPLICATION NO. PCT/EP 03/51000

FILED: DECEMBER 15, 2003

FOR: HYDROPHOBICALLY MODIFIED

POLYMERS AS LAUNDRY ADDITIVES

U.S. APPLICATION NO: 10/540,198

35 USC 371 DATE: JUNE 20, 2005

**Mail Stop: PCT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

LETTER TO CORRECT FILING RECEIPT

Sir:

The official filing receipt received in the above-identified application showed an inconsistency with Patent and Trademark Office (PTO) records under the **"Domestic Priority data as claimed by applicant"** information.

Applicants reviewed the U.S Provisional Application No. 60/509,032, filed on October 6, 2003, and noted no evidence of any inconsistency. Upon further review, the above-mentioned provisional application which the instant application claims benefit of is listed correctly on the Declaration (a copy is enclosed herewith) which declaration was sent to the (PTO) on August 8, 2006 as a missing parts. A copy of the title page of the PCT International Publication **WO 04/056888** also shows this to be true. Therefore, the filing receipt information is correct and no inconsistency should be mentioned.

Applicants would like the filing receipt corrected to remove the phrase “(\*) Data inconsistent with PTO records”.

Please issue a corrected filing receipt having the domestic priority data read:

**-- Domestic Priority data as claimed by applicant**

This application is a 371 of PCT/EP03/51000 12/15/2003  
which claims benefit of 60/436,040 12/23/2002  
and claims benefit of 60/509,032 10/06/2003 --.

Enclosed is a copy of the filing receipt with the corrections noted.

Respectfully submitted,



Tyler A. Stevenson  
Agent for Applicants  
Reg. No. 46,388

Ciba Specialty Chemicals Corporation  
Patent Department  
540 White Plains Road  
P.O. Box 2005  
Tarrytown, NY 10591-9005  
(914) 785-2783  
TAS/dd

Encl.: copy of filing receipt  
copy of title page of WO 04/056888  
copy of declaration

Date: **NOV 16 2006**

**DECLARATION AND POWER OF ATTORNEY FOR U.S. PATENT APPLICATIONS**

☐ Original      ☐ Supplemental      ☐ Substitute      ☒ PCT

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**Hydrophobically Modified Polymers as Laundry Additives**

which is described and claimed in:

- ☐ the attached specification.
- ☐ the specification in U.S. Application No. \_\_\_\_\_  
filed \_\_\_\_\_, and as amended on \_\_\_\_\_ (if applicable).  
(day/month/year) (day/month/year)
- ☒ the specification in International Application No. **PCT/EP 03/51000**  
filed **15/12/2003**  
(day/month/year)  
assigned U.S. Application No. \_\_\_\_\_ (if applicable), and as amended  
☐ under PCT Article 19 on \_\_\_\_\_ (if applicable)  
(day/month/year)  
☐ under PCT Article 34 on \_\_\_\_\_ (if applicable)  
(day/month/year)  
☐ and further amended on \_\_\_\_\_ (if applicable)  
(day/month/year)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information which is known by me to be material to the patentability of this application as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119 (a)-(d) of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America relating to this subject matter having a filing date before that of the application on which priority is claimed:

COUNTRY/REGION (OR PCT)	APPLICATION No.	FILING DATE (day/month/year)	PRIORITY CLAIMED	
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under 35 U.S.C. § 119 (e) of any United States provisional application(s) listed below:

APPLICATION NO.	FILING DATE (day/month/year)
60/436,040	23/12/2002
60/509,032	06/10/2003

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s) or PCT international application(s) designating the United States listed below and, insofar as the application discloses and claims subject matter in addition to that disclosed in the prior copending application, I acknowledge the duty to disclose all information known by me to be material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

U.S. APPLICATION No.	FILING DATE (day/month/year)	STATUS		
		<input type="checkbox"/> Patented	<input type="checkbox"/> Pending	<input type="checkbox"/> Abandoned
		<input type="checkbox"/> Patented	<input type="checkbox"/> Pending	<input type="checkbox"/> Abandoned
		<input type="checkbox"/> Patented	<input type="checkbox"/> Pending	<input type="checkbox"/> Abandoned
		<input type="checkbox"/> Patented	<input type="checkbox"/> Pending	<input type="checkbox"/> Abandoned
		<input type="checkbox"/> Patented	<input type="checkbox"/> Pending	<input type="checkbox"/> Abandoned

PCT APPLICATION No. (designating the U.S.)	INTERNATIONAL FILING DATE (day/month/year)	U.S. APPLICATION No. (if any)	STATUS
			<input type="checkbox"/> Patented
			<input type="checkbox"/> Pending
			<input type="checkbox"/> Abandoned

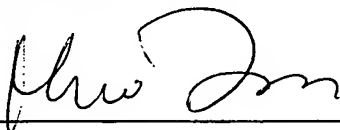


---

Full name of second  
joint inventor, if any

**Jianwen MAO**

Inventor's signature



Date

1 / 6 / 05

(day/month/year)

Residence

**50 Boxwood Lane  
New Milford, CT 06776  
USA**

Citizenship

**Chinese**

Post Office Address

**same as above**

---

Full name of third  
joint inventor, if any

**Hauke ROHWER**

Inventor's signature

Date

(day/month/year)

Residence

**Talweg 44  
79540 Lörrach  
Germany**

Citizenship

**German**

Post Office Address

**same as above**

---

Full name of fourth  
joint inventor, if any

**Ullrich MENGE**

Inventor's signature

Date

(day/month/year)

Residence

**Schlossgasse 45  
79639 Grenzach-Wyhlen  
Germany**

Citizenship

**German**

Post Office Address

**same as above**

**DECLARATION AND POWER OF ATTORNEY FOR U.S. PATENT APPLICATIONS**

☐ Original      ☐ Supplemental      ☐ Substitute      ☒ PCT

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**Hydrophobically Modified Polymers as Laundry Additives**

which is described and claimed in:

- ☐ the attached specification.
- ☐ the specification in U.S. Application No. \_\_\_\_\_, and as amended on \_\_\_\_\_ (if applicable).  
(day/month/year) (day/month/year)
- ☒ the specification in International Application No. **PCT/EP 03/51000**  
filed **15/12/2003**  
(day/month/year)
- assigned U.S. Application No. \_\_\_\_\_ (if applicable), and as amended
- ☐ under PCT Article 19 on \_\_\_\_\_ (if applicable)  
(day/month/year)
- ☐ under PCT Article 34 on \_\_\_\_\_ (if applicable)  
(day/month/year)
- ☐ and further amended on \_\_\_\_\_ (if applicable)  
(day/month/year)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information which is known by me to be material to the patentability of this application as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119 (a)-(d) of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America relating to this subject matter having a filing date before that of the application on which priority is claimed:

COUNTRY/REGION (OR PCT)	APPLICATION No.	FILING DATE (day/month/year)	PRIORITY CLAIMED	
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under 35 U.S.C. § 119 (e) of any United States provisional application(s) listed below:

APPLICATION NO.	FILING DATE (day/month/year)
60/436,040	23/12/2002
60/509,032	06/10/2003

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s) or PCT international application(s) designating the United States listed below and, insofar as the application discloses and claims subject matter in addition to that disclosed in the prior copending application, I acknowledge the duty to disclose all information known by me to be material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

U.S. APPLICATION No.	FILING DATE (day/month/year)	STATUS		
		<input type="checkbox"/> Patented	<input type="checkbox"/> Pending	<input type="checkbox"/> Abandoned
		<input type="checkbox"/> Patented	<input type="checkbox"/> Pending	<input type="checkbox"/> Abandoned
		<input type="checkbox"/> Patented	<input type="checkbox"/> Pending	<input type="checkbox"/> Abandoned
		<input type="checkbox"/> Patented	<input type="checkbox"/> Pending	<input type="checkbox"/> Abandoned
		<input type="checkbox"/> Patented	<input type="checkbox"/> Pending	<input type="checkbox"/> Abandoned

PCT APPLICATION No. (designating the U.S.)	INTERNATIONAL FILING DATE (day/month/year)	U.S. APPLICATION No. (if any)	STATUS
			<input type="checkbox"/> Patented
			<input type="checkbox"/> Pending
			<input type="checkbox"/> Abandoned



I hereby appoint the following attorneys and agents, associated with Customer No. 000324, each of them with full power of substitution, revocation and appointment of associates, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

JoAnn L. Villamizar (Reg. No. 30,598), Kevin T. Mansfield (Reg. No. 31,635),  
Michele A. Kovaleski (Reg. No. 37,865), Tyler A. Stevenson (Reg. No. 46,388)  
and Shiela A. Loggins (Reg. No. 56,221).

Address all correspondence associated with Customer No. 000324 to ***Ciba Specialty Chemicals Corporation, Patent Department, 540 White Plains Road, P.O. Box 2005, Tarrytown, NY 10591-9005.***

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole  
or first joint inventor     **Zhiqiang SONG**

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
(day/month/year)

Residence             **2 Stuart Drive**  
                              **Newtown, CT 06470**  
                              **USA**

Citizenship            **Canadian**

Post Office Address   **same as above**

---

Full name of second  
joint inventor, if any     **Jianwen MAO**

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_  
(day/month/year)

Residence             **50 Boxwood Lane**  
                             **New Milford, CT 06776**  
                             **USA**

Citizenship            **Chinese**

Post Office Address   **same as above**

---

Full name of third  
joint inventor, if any     **Hauke ROHWER**

Inventor's signature     H Rohwer                             Date     17/05/2005  
(day/month/year)

Residence             **Talweg 44**  
                             **79540 Lörrach**  
                             **Germany**

Citizenship            **German**

Post Office Address   **same as above**

---

Full name of fourth  
joint inventor, if any     **Ullrich MENGE**

Inventor's signature     U. Menge                             Date     19/05/2005  
(day/month/year)

Residence             **Schlossgasse 45**  
                             **79639 Grenzach-Wyhlen**  
                             **Germany**

Citizenship            **German**

Post Office Address   **same as above**

(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property  
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8 July 2004 (08.07.2004)

PCT

(10) International Publication Number  
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(51) International Patent Classification<sup>7</sup>: C08F 226/04,  
C11D 3/37, D06P 5/08 // (C08F 226/04, 220:14) (C08F  
226/04, 220:30) (C08F 226/04, 220:18)

(74) Common Representative: CIBA SPECIALTY CHEM-  
ICALS HOLDING INC.; Patent Department, Klybeck-  
strasse 141, CH-4057 Basel (CH).

(21) International Application Number:  
PCT/EP2003/051000

(22) International Filing Date:  
15 December 2003 (15.12.2003)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:  
60/436,040 23 December 2002 (23.12.2002) US  
60/509,032 6 October 2003 (06.10.2003) US

(71) Applicant (for all designated States except US): CIBA  
SPECIALTY CHEMICALS HOLDING INC. [CH/CH];  
Klybeckstrasse 141, CH-4057 Basel (CH).

(72) Inventors; and

(75) Inventors/Applicants (for US only): SONG, Zhiqiang  
[CA/US]; 2 Stuart Drive, Newtown, CT 06470 (US).  
MAO, Jianwen [CN/US]; 50 Boxwood Lane, New  
Milford, CT 06776 (US). ROHWER, Hauke [DE/DE];  
Hauptstrasse 68, 79540 Lörrach (DE). MENGE, Ullrich  
[DE/DE]; Basler Strasse 31, 79639 Grenzach-Wyhlen  
(DE).

(81) Designated States (national): AE, AG, AL, AM, AT, AU,  
AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU,  
CZ, DE, DK, DM, DZ, EC, EE, EG, ES, FI, GB, GD, GE,  
GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR,  
KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK,  
MN, MW, MX, MZ, NI, NO, NZ, OM, PG, PH, PL, PT,  
RO, RU, SC, SD, SE, SG, SK, SL, SY, TJ, TM, TN, TR,  
TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW.

(84) Designated States (regional): ARIPO patent (BW, GH,  
GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW),  
Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM),  
European patent (AT, BE, BG, CH, CY, CZ, DE, DK, EE,  
ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PT, RO, SE,  
SI, SK, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA,  
GN, GQ, GW, ML, MR, NE, SN, TD, TG).

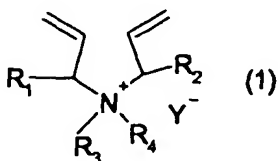
**Published:**

- with international search report
- before the expiration of the time limit for amending the  
claims and to be republished in the event of receipt of  
amendments

(88) Date of publication of the international search report:  
5 August 2004

For two-letter codes and other abbreviations, refer to the "Guid-  
ance Notes on Codes and Abbreviations" appearing at the begin-  
ning of each regular issue of the PCT Gazette.

(54) Title: HYDROPHOBICALLY MODIFIED POLYMERS AS LAUNDRY ADDITIVES



(57) Abstract: The present invention is directed to polymeric compounds comprising a main backbone derived from at least the following monomeric components: (I) 20 to 99.9% by weight, preferably 50% to 99% by weight, of at least one cationic monomer according to formula (1), and (II) 0.1 to 80% by weight of a hydrophobic unsaturated nonionic monomer that polymerizes in the presence of an initiator; optionally a water-soluble monomer (III) different from either monomer (I) and monomer (II), and optionally a crosslinking agent (IV). Said compounds are particularly useful to overcome the problem of dye bleeding and/or dye transfer in laundry pro-



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
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 www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	PART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/540,198	08/08/2006	1751	1030	HP/15-22820A/CGC 2137/PCT		19	1

RECEIVED  
 Andrea DeCecchis

CONFIRMATION NO. 8077

324  
 CIBA SPECIALTY CHEMICALS CORPORATION  
 PATENT DEPARTMENT  
 540 WHITE PLAINS RD  
 P O BOX 2005  
 TARRYTOWN, NY 10591-9005

NOV 6 2006

## FILING RECEIPT



\*OC000000020371730\*

Docket Coordinator  
 Patent Department

Date Mailed: 10/26/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Zhiqiang Song, Newtown, CT;  
 Jianwen Mao, New Milford, CT;  
 Hauke Rohwer, Lorrach, GERMANY;  
 Ullrich Menge, Grenzach-Wyhlen, GERMANY;

Power of Attorney: The patent practitioners associated with Customer Number 324.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/EP03/51000 12/15/2003  
 which claims benefit of 60/436,040 12/23/2002  
 and claims benefit of 60/509,032 10/06/2003 \*

(\*)Data provided by applicant is not consistent with PTO records.

*delete  
 (no inconsistency)*

## Foreign Applications

If Required, Foreign Filing License Granted: 09/09/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/540,198**

Projected Publication Date: 12/21/2006

Non-Publication Request: No

*HP/15-22820/A/CGC 2137/PCT*

Early Publication Request: No

Title

Hydrophobically modified polymers as laundry additives

Preliminary Class

510

## PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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### LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted

under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).